

CAS END STATE

What is CAS:

An integrated management system providing assurance to all parties that legal and contract requirements are understood and implemented in a risk-based manner.

When Implemented it will:

End State Element	How to Achieve It	Who?
Allow performance and risk to be the key drivers of assessment program.	Develop a formal enterprise-wide risk-based issues management approach (includes, e.g., contract requirements, corrective action plans).	Assurance Council and System Owners
Focus on outcomes and systems to achieve them, and not the details of how to achieve them.	Put in place systems that are necessary, sufficient and transparent to achieve the expected outcomes	System Owners
Confirm that FRA and Fermilab have appropriate systems, policies, and processes and are following them in order to ensure mission accomplishment.	BoD CAS Committee, Laboratory Assurance Council, reviews by systems owners	Board of Directors
Allow Fermilab's performance to be evaluated on systems that meet legal and contract requirements within the context of meeting mission outcomes.	Systems are comprehensive to cover all contract requirements, and are transparent in providing data for evaluation of system effectiveness	System Owners
Significantly reduce duplicative assessments, relying on joint DOE, FRA, Fermilab, and/or external certifying bodies to provide assurance and self assessment of mission and operational outcomes.	Convene FSO, FRA and Laboratory joint review of assessments to evaluate Laboratory recommendations for elimination of duplicative assessments	Assurance Council; OQBP to create list
Strong partnership and open discussion and	Active promotion by leaders of FSO, FRA and Laboratory	Site Manager,

sharing of priorities, risks, and information.	to build on partnership agreement.	FRA Chairman of the Board, Laboratory Director
Use of quantifiable performance measures to the maximum extent possible in place of or to focus formal assessments.	System owners propose quantifiable measures that demonstrate execution of contract requirements and performance; obtain FSO, FRA and Laboratory approval of core set of key performance indicators, transparently displayed to all parties.	FSO, FRA, Laboratory
Reduce transactional interactions and permit issues to be dealt with by reliance on business systems with most problems fixed on the spot without formal follow-up.	Improve management systems to provide assurance such that FRA can accept risks of contract performance without additional formal site office approvals; create and maintain joint list of transactions between Laboratory and FSO with goal of reducing formal site office approvals	COO and CRO
DOE goals for each year are established in partnership with FRA and Fermilab management.	Open and transparent discussion and agreement among FSO, FRA and Laboratory, documented in PEMP.	FSO, FRA, Laboratory Management
Open and transparent communication to build trust among DOE, FRA and Laboratory	Establish within management systems metrics for performance and risk mitigation; ensure FSO openly accepted to be involved in management processes without taking action on preliminary information.	FSO, FRA, Laboratory Management
Assure that when things go wrong they are dealt with at the lowest appropriate level of DOE based on likelihood of recurrence and severity of consequences.	Laboratory systems set up to detect problems and make them visible at the appropriate level, with notification to FSO. DOE systems set up to detect problems that affect FNAL and communicate them through FSO.	FSO, Laboratory Management
Enhance capabilities of all parties to evaluate Fermilab contract performance.	Effective, transparent management systems and open communications.	FRA, FSO and Laboratory Management